PTO/SB/01 (03-01)
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DEGLADATION FOR UTILITY OR	Attorney Dock t Nu	mber 06878.114001
DECLARATION FOR UTILITY OR DESIGN	First Named Invento	Yi Tso, et al
PATENT APPLICATION	COMPL	ETE IF KNOWN
(37 CFR 1.63)	Application Number	10 / 615,250
Declaration Submitted OR Submitted after Initial	Filing Date	July 8, 2003
	Group Art Unit	To Be Assigned
with Initial Filing (surcharge (37 CFR 1.16 (e))	Evaminer Name	To Be Assigned

	Filing	(37 CFR 1.16 (e)) required)	Examiner Na	ıme	To Be	Assigned	
_	As a below named inventor, I her	eby declare that:	· · · · · · · · · · · · · · · · · · ·				
	My residence, mailing address, and		below next to my	name.			
	I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:						
	METHOD AND SYSTEM FOR PROVIDING PRINCIPAL PROTECTION EXPOSURE TO EQUITY MARKETS						
	EXPOSURE TO EQU	JIT WARKETS					
		(Title of the	Invention)				
	the specification of which	(,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,				
	is attached hereto						
	OR						
	X was filed on (MM/DD/YYYY)	July 8, 2003	as Unite	d States A	pplication N	Number or PCT In	temational
	Application Number 10/615	, 250 and was arr	nended on (MM/DD	/////_			(if applicable).
	I hereby state that I have reviewed amended by any amendment spec	and understand the cont ifically referred to above.	ents of the above i	dentified s	pecification	, including the clai	ims, as
	I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.						
	I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.						
	Prior Foreign Application Number(s)	Country	Foreign Filing Da (MM/DD/YYYY)	1	riority Claimed	Certified Cop	oy Attached?
	.,,						
ſ	x Additional foreign application	numbers are listed on a s	supplemental priorit	y data she	et PTO/SB	/02B attached her	reto:

DECLARATION — Utility or Design Patent Application

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Address				
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		,		
Country Tele	ephone			Fax
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.				
NAME OF SOLE OR FIRST INVENTOR : A petition has been filed for this unsigned inventor				
Given Name Yi Family Name TSO or Surname				
Inventor's Signature				Date July 16, 200 3
Residence: City Jersey City	State NJ		Country	Citizenship US
45 River Drive So., N	o. 1812			
City Jersey City	State NJ		07310 zip	Country US
NAME OF SECOND INVENTOR:	A petition has	s been	filed for this unsig	
Given Name John (first and middle [if any])		Family or Surn	Name Vitha	
Inventor's Signature				Date
North Woodmere Residence: City	NY State	Co	US	US Citizenship
Mailing Address 1075 Duston Road				
North Woodmere	State NY	ZIF	_P 11581	Country
Additional inventors are being named on the supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.				

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NAME OF SOLE OR FIRST INVENTOR :	A petition ha	as bee	n filed for this un	signed inventor
Given Name (first and middle [if any])		Family or Sur		
Inventor's Signature				Date
Residence: City Jersey City	State NJ		Country	Citizenship US
45 River Drive So., No				
_{city} Jersey City	State NJ		07310 zip	Country US
NAME OF SECOND INVENTOR:	A petition has	s been	filed for this unsi	
Given Name JOhn (first and middle [if any])		Family or Suri		
Inventor's Signature AMR RMA	7			Date 8/12/03
North Woodmere	NY State	Co	US	US Citizenship
Mailing Address 1075 Duston Road				
North Woodmere	State NY	ZI	_P 11581	Country
X Additional inventors are being named on the 1 su	pplemental Addition	onal Inve	entor(s) sheet(s) PTC	SB/02A attached hereto.

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Name of Additional Joint Invent r, if any:		A pe	tition ha	s been filed for this	unsigned inve	ntor
Given Name (first and middle (if any)		Family Nan	ne or Su	urname		
Timothy		Bridges				,
Inventor's Temothy & Bridge					Date 8/	12/03
Residence: City Summit	State	NJ	Count	tryUS	Citizenship	US
Mailing Address 41 Waldron Avenue						
Mailing Address						
City	State	NJ		_{Zip} 07901	Country	US
Name of Additional Joint Inventor, if any:		□ Аре	etition ha	as been filed for this	unsigned inv	entor
Given Name (first and middle (if any)				Family Name or	Surname	
Michael		Millette		•		
Inventor's Signature					· · · · · · · · · · · · · · · · · · ·	
Residence: City	State			Country		Citizenship
Mailing Address						
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Given Name (first and middle (if any)		· · · · · · · · · · · · · · · · · · ·		Family Name or	Surname	
Radcliffe J.		Smith				
Inventor's Signature		Date				Ţ
Residence: City North Caldwell	State	, NJ		Country US		Citizenship US
Mailing Address 1 East Greenbrook Road						
Mailing Address North Caldwell City	State	NJ		Zip 07006	Country	US

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DECLARATION					Page -	of
Name of Additional Joint Inventor, if any:		☐ A pe	lition ha	as been filed for this	unsigned inv	entor
Given Name (first and middle (if any)		Family Nan	ne or S	urname		
Timothy		Bridges				
Inventor's Signature			.		Date	
Residence: City Summit	State	NJ	Coun	tryUS	Citizenship	US
Mailing Address 41 Waldron Avenue						
Mailing Address						
City Summit	State	NJ		Zip 07901	Country	US
Name of Additional Joint Inventor, if any:		□ Ар€	etition h	as been filed for this	unsigned in	ventor
Given Name (first and middle (if any)				Family Name or	r Surname	
Michael		Millette				
Inventor's Michael Millith					8,	1/2/03
Residence City Larchmont	State	NY		Country USA		Citizenship USA
Mailing Address 32 Maple Hill Drive	e					
Mailing Address						
City Larchmont	State	\sim	/	Zip 10538	Country	USA
Name of Additional Joint Inventor, if any:	•	□ Ар	etition h	nas been filed for thi	s unsigned ir	ventor
Given Name (first and middle (if any)				Family Name of	r Surname	
Radcliffe J.		Smith				
Inventor's Signature		Date				
Residence: City North Caldwell	State	NJ		Country US		Citizenship US
Mailing Address 1 East Greenbrook Road	<u> </u>					
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. ADDITIONAL INVENTOR(S) **DECLARATION** Supplemental Sheet Page · A petition has been filed for this unsigned inventor Name of Additi nal Joint Inventor, if any: Family Name or Surname Given Name (first and middle (if any) **Bridges Timothy** Inventor's Date Signature US NJ Country US Citizenship State Residence: City Summit 41 Waldron Avenue Mailing Address Mailing Address US State NJ 07901 Summit Country City A petition has been filed for this unsigned inventor Name of Additional Joint Inventor, if any: Family Name or Surname Given Name (first and middle (if any) Millette Michael Inventor's Signature Citizenship State Country Residence: City Mailing Address Mailing Address Country Zip State City Name of Additional Joint Inventor, if any: A petition has been filed for this unsigned inventor Family Name or Sumame Given Name (first and middle (if any) Smith Radcliffe J. Inventor's Date Signature Citizenship US NJ Country US North C State Residence: City

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State

NJ

1 East Greenbrook Road

Mailing Address
Mailing Address

North Caldwell

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DECLARATION	equired to res	ADDITIONAL INVENTOR(S) Supplemental Sheet 4 Page of				
Name of Additional Joint Inventor, if any:		☐ A pe	tition ha	as been filed for this	unsigned inve	entor
Given Name (first and middle (if any)		Family Nar	ne or S	urname		
Richard / /	1	Andrad	е			
Inventor's Signature MMARAMANAM			r		Date 7/	23/03
Residence: City Holmdel	State	NJ	Coun	try US	Citizenship	uś
Mailing Address 2 Rustic Lane						
Mailing Address						
City Holmdel	State	NJ		_{Zip} 07733	Country	us
Name of Additional Joint Inventor, if any:		□ Аре	etition h	as been filed for this	unsigned inv	entor
Given Name (first and middle (if any)				Family Name or	Surname	
Inventor's Signature						
Residence: City	State			Country		Citizenship
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Applicati n Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equity
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878.114001

I hereby appoint:			7	
X Practitioners at Customer Number:	32,361			
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Practitioner(s) named below:				- hos
Name			Registration Nur	mper
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I am the:				
X Applicant/Inventor.				
Assignee of record of the entire in Statement under 37 CFR 3.73(b)	nterest, See 37 CFR 3.71. is enclosed, (Form PTO/SE	V96)		
	SIGNATURE of Applica		Record	
Name Yi Tso			-	
Signature			Telephone	212-357-46/2
Date December 2	, 2503	a a shall consequently		
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Application Number	10/615,250
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Title Method and System for	Providing Principal Protection Exposure to Equit
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Attorney Docket Number	06878.114001

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	, SIGNATURE of Applican		rd
Name Michael Millette	. (1)		
Signature VVI	shael Willite		elephone 212.902.3702.
Date De ce	mber 3, 2005		
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I hereby appoint:		:		
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as my/our attorney(s) or agent(s) to prosec Trademark Office connected therewith.	ute the application identified above	and to transa	ct all business in the U	nited States Patent and
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X Applicant/Inventor.				
Assignee of record of the entire i	nterest. See 37 CFR 3.71.			
Statement under 37 CFR 3.73(b)	is enclosed. (Form PTO/SB/96)			
	SIGNATURE of Applicant or A	ssignee of F	tecord	
Name John Vitha				
Signature Dalrule			Telephone 2.12	-902-5757
Date / 12-1-03				
NOTE: Signatures of all the inventors or assign forms if more than one signature is required, se	ees of record of the entire interest or the e below.	r representative	(s) are required. Submit m	uiupie
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Practitioner(s) named below:			
Name			Registration Number
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1 am the: X Applicant/Inventor.			
Assignee of record of the entire in Statement under 37 CFR 3.73(b)	iterest. See 37 CFR 3.71. is enclosed. (Form PTO/S8	/96)	
,	SIGNATURE of Applica	nt or Assignee of R	ecord
Name Radculfe J. Smith	10		
Signature Signature	LXC/+		
Date (2503//			Telephone 242-402-8792
NOTE; Signatures of all the Inventors or assigns forms if more than one signature is required, see	es of record of the entire interest below*.	t or their representative	(s) are required. Submit multiple
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Application Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equit
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878.114001

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Name Timothy Bridges	J. 7			11 - 12 602
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Assignee of record of the entire in Statement under 37 CFR 3.73(b)	is enclosed. (Form PTO/SE	3/96)		
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Name Richard Andrade	The I			
Date Office 2	2003		Telephone 212-357-33//	
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